

**CLASSIFICATION AND
PERFORMANCE MANAGEMENT RECORD**

NEW

I/A:

MR#:

IP#:

☐ Performance Plan ☐ Performance Appraisal ☐ Performance Recognition ☐ Progress Review ☐ Position Description

Employee's Name:

Social Security No.

Position Title:

Pay Plan, Series, Grade/Step:

Organization:

1.

4.

2.

5.

3.

6.

Rating
Period:

Covered by

Senior Executive Service

Demonstration Project

General Workforce

✓

Other: ST

PART A - POSITION DESCRIPTION

POSITION CERTIFICATION – I certify that this is an accurate statement of the major duties and responsibilities of the position and its organization relationships and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purpose relating to appointment and payment of public funds and that false or misleading statements may constitute violation of such statute or their implementing regulations.

SUPERVISOR'S SIGNATURE

DATE

SECOND LEVEL SUPERVISOR

DATE

**CLASSIFICATION
CERTIFICATION**

OFFICIAL TITLE:

PP
:

SERIES:

FUNC:

GRADE:

I/A:

YES

NO

I certify that this position has been classified as required by Title 5, US Code, in conformance with standards published by the OPM or, if no published standard applies directly, consistently with the most applicable published standards.

NAME & TITLE OF CLASSIFIER

SIGNATURE

DATE

PART B - PERFORMANCE PLAN

This plan is an accurate statement of the work that will be the basis of the employee's performance appraisal.

NAME & TITLE OF FIRST LINE SUPERVISOR/RATING OFFICIAL

SIGNATURE

DATE

APPROVAL – I agree with the certification of the position description and approve the performance plan.

NAME & TITLE OF APPROVING OFFICIAL OR SES APPOINTING
AUTHORITY

SIGNATURE

DATE

EMPLOYEE ACKNOWLEDGMENT – My signature acknowledges discussion of the position description and receipt of the plan, and does not necessarily signify agreement.

SIGNATURE

DATE

PRIVACY ACT STATEMENT – Disclosure of your social security number on this form is voluntary. The number is linked with your name in the official personnel records system to ensure unique identification of your records. The social security number will be used solely to ensure accurate entry of your performance rating into the automated record system.

U.S. Department of Commerce Senior Professional (ST) Performance Agreement

Executives in the Department of Commerce are accountable for supporting the Department's mission to promote job creation and improved living standards for all Americans by creating an infrastructure that promotes economic growth, technological competitiveness, and sustainable development. The Department's strategic goals are as follows:

- 1) Provide the information and the framework to enable the economy to operate efficiently and equitably.
- 2) Provide the infrastructure for innovation to enhance American competitiveness.
- 3) Observe and manage the Earth's environment to promote sustainable growth.
- 4) Management Integration Goal: Strengthen management at all levels.

Appraisal Period: October 1, 2005 – September 30, 2006

SSN:

Name:

Position Title:

ST and Series: ST-

Organization: DoC/NOAA/

NOTE: Accomplishment of the following responsibilities is not the sole applicable measurement - it is how well the Executive has achieved these assignments that drives the ratings for these performance elements.

NOAA scientists and managers work to support the mission of the organization. NOAA's mission is to understand and predict changes in the Earth's environment and conserve and manage coastal and marine resources to meet our Nation's economic, social, and environmental needs. NOAA's strategic plan is the response to the challenges for the next five years and beyond, setting the framework to build NOAA's capacity to address new priorities and realize its objectives. NOAA's strategic goals are defined as:

- Protect, restore and manage the use of coastal and ocean resources through an ecosystem approach to management.
- Understand climate variability and change to enhance society's ability to plan and respond.
- Serve society's needs for weather and water information.
- Support the Nation's commerce and information for safe, efficient, and environmentally sound transportation.
- Provide critical support to NOAA's mission

In addition, NOAA has identified five crosscutting priorities as essential areas of growth for the future. These crosscutting priorities describe the programmatic and managerial underpinnings that facilitate NOAA's delivery of services and enable effective operations. NOAA's crosscutting priorities are as follows.

1. Developing, Valuing, and Sustaining a World-Class Workforce
2. Integrated Global Environmental Observation and Data Management System
3. Ensuring Sound, State of the Art Research
4. Promoting Environmental Literacy
5. Exercising International Leadership

These goals are reflected in the critical elements defined below.

Part I: Critical Performance Expectations

A. Responsibilities - All Department of Commerce senior professional leaders share certain critical elements that deal with how they perform their job. Set forth below, these responsibilities reflect the core values of the Department – what is important to us as an organization – and they are shared by all Department of Commerce executives, senior scientists/technologists, and managers. These elements guide the various actions that the incumbent commits to in Part I, B NOAA Specific Elements, and should be given equal weight in the summary narrative and evaluation. The incumbent and immediate supervisor jointly review these responsibilities to ensure mutual understanding.

CRITICAL ELEMENT 1: STATURE IN THE PROFESSIONAL FIELD (50%)

Demonstrates integrity, sound judgment, and the highest ethical standards of public service. Maintains a recognized prestigious research program in science or engineering. Conducts high-quality mission-related scientific research and/or monitoring that expands and improves scientific knowledge and understanding in a scientific field or discipline and/or leads to the development of new tools, models, approaches and concepts that improve understanding, management or predictions on materials and environmental issues. Creates and reports on research milestones.

Maintains stature as national or international leader or authority in the appropriate scientific field or discipline. Provides very high-quality professional advisory service and consulting on scientific and technological problems. Consults with industry, academia, and other government agencies and institutions on complex, advanced scientific and engineering issues at a very high level of competency. Is sought after to communicate in their area of expertise through research publications and as a speaker and/or leader of forums.

Displays high level of creativity, initiative, flexibility, and innovation to produce results that are important to the profession and ultimately the American people. Leverages the capability of colleagues to foster innovative thinking. Uses ingenuity to optimize effectiveness among colleagues.

Participates on national committees and convenes symposia, conferences and workshops. Keeps abreast of new developments and communicates advances in profession to others.

Monitors compliance of research activities with relevant environmental regulations.

STATURE MISSION GOAL (S)

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-

STATURE OUTCOMES

-
-

STATURE OBJECTIVES

-
-

STATURE MILESTONES/MEASURES

-
-

Rating on Element 1 - STATURE

- ☐ Outstanding
- ☐ Commendable
- ☐ Fully Successful
- ☐ Minimally Acceptable
- ☐ Unsatisfactory

B. NOAA CRITICAL ELEMENTS

CRITICAL ELEMENT 2: NOAA CRITICAL PERFORMANCE EXPECTATION–RESEARCH LEADERSHIP (30%)

As used here, the terms “research” and “scientific leadership” refer to scholarly activities in the social as well as natural sciences and in policy that support the NOAA vision, mission and goals as outlined in the NOAA Strategic Plan.

Provides personal scientific leadership and/or oversight as appropriate on studies, projects, efforts, and or matters of great significance in support of NOAA’s Strategic Plan objectives. Addresses and sets new directions for research activities critical to the Nation to further the understanding of and to contribute to the development of a national strategy for mission critical endeavors.

Displays a high level of creativity, initiative, flexibility and innovation to produce results that are important to the profession and to protect the lives and property of our Nation. Through cooperative work with leading scientists and institutions in the U.S. and abroad, provides new and significant insight to problems to develop and broaden fundamental theories and to conceive new methods, models, and techniques for generating and interpreting scientific data. Works with appropriate NOAA leadership and Program Management to ensure development of effective research-to-operations strategies for NOAA research in his/her area.

Formulates research plans and hypotheses, and carries them out to completion. Takes full technical responsibility for interpreting them with respect to the activities and interests of NOAA and to scientific methodology. Conducts or oversees high-quality mission related scientific research and/or monitoring that expands or improves the scientific knowledge and understanding to advance our critical actions which directly support NOAA strategic goals and protect the lives and property of our Nation.

Promotes efficiency in executing research through integration of efforts and effective interchange of information amongst scientists within and outside of NOAA.

Demonstrates commitment to the President’s Management Agenda by focusing on results in scientific field or discipline.

RESEARCH LEADERSHIP MISSION GOAL(S)

•

RESEARCH LEADERSHIP OUTCOMES

Label each outcome with the related goal.

•

•

RESEARCH LEADERSHIP OBJECTIVES

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RESEARCH LEADERSHIP MILESTONES/MEASURES

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Rating on Element 2 - Research Leadership

- ☐ Outstanding
- ☐ Commendable
- ☐ Fully Successful
- ☐ Minimally Acceptable
- ☐ Unsatisfactory

CRITICAL ELEMENT 3: NOAA CRITICAL PERFORMANCE EXPECTATION– SCIENTIFIC PRODUCTIVITY (20%)

Serves as a spokesperson within and for NOAA, advancing research results. Communicates research results to the scientific community through publications or other scholarly outlets. Research results and accomplishments are also reported in technical reports, along with documented improvements in procedures, equipment and equipment designs, models, and proceedings.

Continuously evaluates research programs in terms of the mission and strategic goals.

SCIENTIFIC PRODUCTIVITY MISSION GOALS

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-

SCIENTIFIC PRODUCTIVITY OUTCOMES

-
-

SCIENTIFIC PRODUCTIVITY OBJECTIVES

-
-

SCIENTIFIC PRODUCTIVITY MEASURES/MILESTONES

-
-

Rating on Element 3: Scientific Productivity

- ☐ Outstanding
- ☐ Commendable
- ☐ Fully Successful
- ☐ Minimally Acceptable
- ☐ Unsatisfactory

PART II: Progress Review

This mandatory review generally takes place during the middle of the evaluation year. The rating official and the incumbent are required to discuss the incumbent’s progress toward expectations set forth in Part I. That discussion should be summarized below:

Date review conducted: _____

Rating official’s signature: _____

Employee’s signature: _____

Part III: Performance Summary and Rating Name:

Instructions:

1. List each critical element in the performance plan and the weight it has been assigned.
2. Assign a rating level for each element: (5) Outstanding; (4) Commendable; (3) Fully Successful; (2) Minimally Acceptable and (1) Unsatisfactory. Raters may also give fractional ratings.
3. Score each element by multiplying the weight by the rating level.
4. After each element has been scored, compute total score by summing all individual scores. Total
5. score can range from 100 to 500.

Performance Summary and Rating Methodology			
Critical Element	Individual W eights (Sum=100%)	Element Rating (1-5)	Score
Stature in the Professional Field	50		0
Research Leadership	30		0
Productivity	20		0
Total	100		0

ITEM 3. ST EMPLOYEES ONLY:

Name		Title	
1. Rating Official Recommendation(s). Check appropriate block(s).			
<input type="checkbox"/> Outstanding (460 – 500)	<input type="checkbox"/> Commendable (380 – 459)	<input type="checkbox"/> Fully Successful (290 – 379)	<input type="checkbox"/> Marginal (200 – 289) <input type="checkbox"/> Unacceptable (100 – 199)
Rating Official's Signature		Title	Date
Employee's Signature (indicates appraisal meeting held)			Date
2. Optional Higher Level review (at employee's request) Comments: Recommendation on initial rating:			
Higher Level reviewer Signature		Title	Date
3. PRB Review PRB Concurs with initial Rating		<input type="checkbox"/> Yes	<input type="checkbox"/> No (Explain below)
PRB Chairperson and/or Co-Chairperson's Signature			Date
4. Appointing Authority <input type="checkbox"/> Disagree with PRB recommendations. If disagree, explain. <input type="checkbox"/> Agree Final Rating <input type="checkbox"/> Outstanding <input type="checkbox"/> Commendable <input type="checkbox"/> Fully Successful <input type="checkbox"/> Marginal <input type="checkbox"/> Unacceptable			
Appointing Authority's Signature			Date